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I. Potential References of Interest

A. Dialog

0 relevant references found.

II. Inventor Search Results from Dialog

0 relevant search results

III. Patent Files from Dialog

A. All Databases

File 324: GERMAN PATENTS FULLTEXT 1967-200946
(c) 2009 UNIVENTIO/THOMSON

File 348: EUROPEAN PATENTS 1978-200946
(c) 2009 European Patent Office

File 349: PCT FULLTEXT 1979-2009/UB= 20091112|UT= 20091105
(c) 2009 WIPO/Thomson

File 344: Chinese Patents Abs Jan 1985-2006/Jan
(c) 2006 European Patent Office

File 347: JAPIO Dec 1976-2009/Jul(Updated 091030)
(c) 2009 JPO & JAPIO

File 350: Derwent WPIX 1963-2009/UD= 200973
(c) 2009 Thomson Reuters

File 371: French Patents 1961-2002/BOPI 200209
(c) 2002 INPI. All rts. reserv.

? **ds**

Set	Items	Description
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S1 5383 TRADING(3N)(SYSTEM OR SYSTEMS)
 S2 1877 (STOCK OR STOCKS)(3N)TRADING
 S3 22055 (SYNC OR SYNCOS OR SYNCHRONI?)(5N)(ORDER OR ORDERS)
 S4 160816 (UPLOAD? OR DOWNLOAD? OR SEND OR SENDS OR SENDING OR TRANS-
 MIT? OR TRANSMISS?)(5N)(ORDER OR ORDERS)
 S5 2355 (S3 OR S4)(5N)(AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR -
 ELECTRONIC?)
 S6 403 AU= (KEITH, C? OR KEITH C? OR CHRISTOPHER(2N)KEITH)
 S7 6572 S1:S2
 S8 35 S7(5N)S5
 S9 22 S8 AND IC= G06Q
 S10 0 S6(S)S1
 S11 0 S6(S)S2
 S12 43 S6 AND STOCK? ?
 S13 0 S12 AND IC= G06Q

?

9/3,K/1 (Item 1 from file: 349)
 DIALOG(R)File 349: PCT FULLTEXT
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01834287 **Image available**

AN AUTOMATED TRADING SYSTEM WITH POSITION KEEPING
 SYSTEME DE COMMERCE AUTOMATISE AVEC MAINTIEN DE POSITION

Patent Applicant/ Assignee:

CINNOBER FINANCIAL TECHNOLOGY AB, Kungsgatan 36, SE-111 35 Stockholm, SE,
 SE (Residence), SE (Nationality), (For all designated states except:
 US)

Patent Applicant/Inventor:

LARSSON Lars-Goran, Lovisedalshojden 41, S-186 53 Vallentuna, SE, SE
 (Residence), SE (Nationality), (Designated only for: US)

Legal Representative:

SANDSTROM Staffan (agent), Patentor KB, Boda, S-193 91 Sigtuna, SE

Patent and Priority Information (Country, Number, Date):

Patent: WO 200972949 A1 20090611 (WO 0972949)

Application: WO 2008SE668 20081128 (PCT/WO SE2008000668)

Priority Application: US 2007951512 20071206

Designated States:

(All protection types applied unless otherwise stated - for applications
 2004+)

AE AG AL AM AO AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE
 DK DM DO DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE
 KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ
 NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM ST SV SY TJ
 TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW
 (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC
 MT NL NO PL PT RO SE SI SK TR
 (OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
 (AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
 (EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English
Filing Language: English
Fulltext Word Count: 3613

International Patent Class (v8 + Attributes)
IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/00...

Fulltext Availability:
Detailed Description
Claims

Detailed Description

... in more detail by way of non-limiting examples and with reference to the accompanying drawings, in which:-Fig. 1 is a view of an **automated trading system** comprising a **synchronized order** book and position-keeping module, and-Fig. 2 is a flowchart illustrating steps performed when trading orders in an automated trading system.

DETAILED DESCRIPTION

In...

9/3,K/2 (Item 2 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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01726007 **Image available**

INVESTMENT MANAGEMENT SYSTEM AND METHOD
SYSTEME ET PROCEDE DE GESTION D'INVESTISSEMENTS

Patent Applicant/Assignee:

DIVERSIFIED RETURNS INC, 6929 North Hayden Road, Unit C-4-186,
Scottsdale, AZ 858280, US, US (Residence), US (Nationality), (For all
designated states except: US)

Patent Applicant/Inventor:

OUIMET Kenneth Joseph, 10580 East Acacia Drive, Scottsdale, AZ 85255, US,
US (Residence), US (Nationality), (Designated only for: US)
OUIMET Timothy Luke, 6929 North Hayden Road, Unit C4-186, Scottsdale, AZ
85250, US, US (Residence), US (Nationality), (Designated only for: US)
NICHOL Eric, 8300 East Via de Ventura, #1021, Scottsdale, AZ 85258, US,
US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

DAUGHERTY Raye Lynn et al (agent), 60eenberg Traurig LLP, 2450 Colorado
Avenue, Suite 400E, Santa Monica, CA 90404, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 2008121295 A1 20081009 (WO 08121295)

Application: WO 2008US3993 20080327 (PCT/WO US2008003993)
Priority Application: US 2007908848 20070329; US 2007998164 20071128

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AO AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE
DK DM DO DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE
KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ
NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM
TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC
MT NL NO PL PT RO SE SI SK TR
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 10397

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/ 00...

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... simulations which will graphically compare multiple portfolios,
visualizing strategic tradeoffs.

[0040] Some embodiments of the invention provide for portfolio execution
via an interface into a **trading
system by electronically
sending** the necessary "buy" and "sell"
orders and trading rules to implement the selected
portfolio. The merchant platform for investment services can permit
service providers to sell research, and can permit mutual...

9/3,K/3 (Item 3 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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01725521 **Image available**

LINKED DISPLAYED MARKET AND MIDPOINT MATCHING SYSTEM

SYSTEME DE MARCHE AFFICHE ET DE MARCHE DE CONCORDANCE A MI-PARCOURS LIES

Patent Applicant/ Assignee:

INTERNATIONAL SECURITIES EXCHANGE LLC, 60 Broad Street, New York, NY

10004, US, US (Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

WUNSCH Steve, 55 Liberty Street, 22C, New York, NY 10005, US, US (Residence), US (Nationality), (Designated only for: US)
BOOKS Robert, 906 Park Avenue, Hoboken, NJ 07030, US, US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

LIEB Stephen J et al (agent), Frommer Lawrence & Haug LLP, 745 Fifth Avenue, New York, NY 10151, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 2008121527 A1 20081009 (WO 08121527)
Application: WO 2008US56776 20080313 (PCT/WO US2008056776)
Priority Application: US 2007731909 20070402

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AO AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DO DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC MT NL NO PL PT RO SE SI SK TR
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 20505

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/00...

Fulltext Availability:

Detailed Description
Claims

Detailed Description

... all current, principal Crossing Networks also contain a common limitation in that they lack order processing and matching features necessary to process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems** and automatically match multiple, executable orders. These trading systems continue to gain in popularity, and are accounting for an increasing percentage of the total volume...

...midpoint of a BBO, wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other

automated trading

systems, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

...midpoint of a BBO, wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other

automated trading

systems, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

...include an OMS that communicates in CMS or FIX messaging format.

[0019] The present invention includes a system for receiving and storing multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, including Solicitation of Interest ("SOI") orders, Request for Cross ("RFC") orders, RFC responses, Drip Feed ("DF") orders, and Reserve orders, and automatically matching the multiple...

...midpoint of a BBO, wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...midpoint of a BBO, wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

01699436 ** Image available **

ELECTRONIC BLOCK TRADING SYSTEM AND METHOD OF OPERATION
SYSTEME DE VENTE DE TITRES ELECTRONIQUES ET PROCEDE D'EXPLOITATION

Patent Applicant/Assignee:

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Patent Applicant/Inventor:

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LEE James, 153 Sierra Vista Terrace S.W., Calgary, Alberta, T3H 3C4, CA,
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2B2, CA, CA (Residence), CA (Nationality), (Designated only for: US)

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KRATZ Geoff, 63 Scenic Rise NW, Calgary, Alberta, T3L 1A7, CA, CA
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Legal Representative:

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60 State Street, Boston, MA 02109, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200895140 A1 20080807 (WO 0895140)

Application: WO 2008US52723 20080131 (PCT/WO US2008052723)

Priority Application: US 2007887507 20070131

Designated States:

(All protection types applied unless otherwise stated - for applications
2004+)

AE AG AL AM AO AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE
DK DM DO DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE
KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ
NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM
TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC
MT NL NO PL PT RO SE SI SK TR
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 19503

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/00...

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... orders to buy and sell securities at the midpoint of the best bid and
best offer ("BBO"). This system receives and stores multiple,

computer-generated **orders** of any size
transmitted by algorithmic, program, and other
automated trading
systems. The transactions provided to a buyer or
seller may include instructions for the disclosure of selected message
data to one or more market participants.

Preprogram...

9/3,K/5 (Item 5 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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01574002 **Image available**
CREDIT DATA PROCESSING SYSTEM FOR CONTROLLING ELECTRONIC TRADING BASED ON
CREDIT ARRANGEMENTS
SYSTEME DE TRAITEMENT DE DONNEES DE CREDIT POUR LE GESTION DE COMMERCE
ELECTRONIQUE SELON DES MECANISMES DE CREDIT

Patent Applicant/Assignee:

FX ALLIANCE LLC, 900 Third Avenue, Third Floor, New York, NY 10022, US,
US (Residence), US (Nationality), (For all designated states except:
US)

Patent Applicant/Inventor:

SETZ Karen, 209 Altamont Ave, Tarrytown, NY 10591, US, US (Residence), AU
(Nationality), (Designated only for: US)

Legal Representative:

WHITE Grady L (agent), Law Offices Of Grady L. White, LLC, 10605 Concord
Street, Suite 440, Kensington, MD 20895, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 2007121258 A2-A3 20071025 (WO 07121258)
Application: WO 2007US66455 20070411 (PCT/WO US2007066455)
Priority Application: US 2006791135 20060411; US 2006801749 20060519

Designated States:

(All protection types applied unless otherwise stated - for applications

2004+)

AE AG AL AM AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK
DM DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM
KN KP KR KZ LA LC LK LR LS LT LU LY MA MD MG MK MN MW MX MY MZ NA NG NI
NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT
TZ UA UG US UZ VC VN ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC MT
NL PL PT RO SE SI SK TR

(OA) BF BH CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 16386

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/ 00...

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... are configured so that, upon receiving from credit processing system 100 a credit confirmation notice and selected optimal path pertaining to a provider's contingent **order**,

electronic trading

system 120 will **send** an offer to

deal to the computer system operated by that provider, and then execute the series of trades using the selected optimal credit path...

9/3,K/6 (Item 6 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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01486212 **Image available**

MIDPOINT MATCHING SYSTEM

SYSTEME DE CONCORDANCE A MI-PARCOURS

Patent Applicant/Assignee:

INTERNATIONAL SECURITIES EXCHANGE LLC, 60 Broad Street, 26th Floor, New York, NY 10004, US, US (Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

WUNSCH Steve, 55 Liberty Street, #22C, New York, NY 10005, US, US (Residence), US (Nationality),

BOOKS Robert, 906 Park Avenue, Hoboken, NJ 07030, US, US (Residence), US (Nationality),

HENDERSON Michael, 163 Ludlow Avenue #2D, New York, NY 10002, US, US (Residence), US (Nationality),

Legal Representative:

LIEB Stephen J et al (agent), FROMMER, LAWRENCE & HAUG LLP, 745 Fifth Avenue, New York, NY 10151, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200730395 A2-A3 20070315 (WO 0730395)

Application: WO 2006US34292 20060905 (PCT/WO US2006034292)

Priority Application: US 2005222141 20050907

Designated States:

(All protection types applied unless otherwise stated - for applications

2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM

DZ EC EE EG ES FI GB GD GE GH GM HN HR HU ID IL IN IS JP KE KG KM KN KP
KR KZ LA LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MY MZ NA NG NI NO
NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ
UA UG US UZ VC VN ZA ZM ZW
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL
PL PT RO SE SI SK TR
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 16607

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/ 00...

Fulltext Availability:

Detailed Description

Claims

English Abstract

...bid and offer ("BBO"), wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

Detailed Description

... the midpoint of a BBO. The automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

...all current, principal Crossing Networks also contain a common limitation in that they lack order processing and matching features necessary to process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems** and automatically match multiple, executable orders. These trading systems continue to gain in popularity, and are accounting for an increasing percentage of the total volume...

...midpoint of a BBO, wherein the automated system is adapted to (i)

operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

...midpoint of a BBO, wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

...include an OMS that communicates in CMS or FIX messaging format.

[0013] The present invention includes a system for receiving and storing multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, including Solicitation of Interest ("SOI") orders, Request for Cross ("RFC") orders, RFC responses, Drip Feed ("DF") orders, and Reserve orders, and automatically matching the multiple...

...midpoint of a BBO, wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

...midpoint of a BBO, wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted by automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

9/3,K/7 (Item 1 from file: 347)
DIALOG(R)File 347: JAPIO
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09610955 **Image available**
SECURITIES TRADING SYSTEM FOR TRADING FOREIGN SECURITIES

PUB. NO.: 2009-003878 [JP 2009003878 A]
PUBLISHED: January 08, 2009 (20090108)
INVENTOR(s): YOSHIOKA TOMOYUKI
APPLICANT(s): HITACHI SOFTWARE ENG CO LTD
APPL. NO.: 2007-166596 [JP 2007166596]
FILED: June 25, 2007 (20070625)

International Patent Class (v8 + Attributes)
IPC + Level Value Position Status Version Action Source Office:
G06Q-0040/ 00...

...JP
G06Q-0030/ 00...

ABSTRACT

... the foreign securities and by controlling order transmission to a foreign country.

SOLUTION: A securities trading system for trading foreign securities has a sever for **transmitting order** information to a foreign **electronic** securities market. The securities **trading system** for **trading** foreign securities includes: a stock database which associates stock identification information and country identification information in advance and stores them together; a trading hours database...

9/3,K/8 (Item 1 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0019626941 - Drawing available
WPI ACC NO: 2009-P70850/200971
Related WPI Acc No: 2009-N12569
Margin requirement computing method for use during trading day in **electronic trading system**, involves **sending order** to buy/sell tradeable object to electronic exchange, when available margin balance is greater than total margin

requirement

Patent Assignee: TRADING TECHNOLOGIES INT INC (TRAD-N)

Inventor: KRAUS H; OWENS F; SCHLUETTER J

Patent Family (1 patents, 1 countries)

Patent

Application

Number	Kind	Date	Number	Kind	Date	Update
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US 7603303	B1	20091013	US 2003339947	A	20030110	200971 B
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US 2002429185	P	20021126				
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Priority Applications (no., kind, date): US 2002429185 P 20021126; US 2003339947 A 20030110

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
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US 7603303	B1	EN	18	10	Related to Provisional	US 2002429185
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Margin requirement computing method for use during trading day in

electronic trading

system, involves **sending**

order to buy/sell tradeable object to electronic

exchange, when available margin balance is greater than total margin requirement

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0040/ 00...

G06Q-0040/ 00...

Original Publication Data by Authority

Argentina

9/3,K/9 (Item 2 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0018498922 - Drawing available

WPI ACC NO: 2008-O19262/200882

XPX Acc No: N2009-047546

Displaying method of transmission time interval to trader, involves displaying transmission time interval on transmission time interval display of trading screen

Patent Assignee: CUNNINGHAM TRADING SYSTEMS LLC (CUNN-N)

Inventor: BUSBY A W

Patent Family (1 patents, 1 countries)

Patent

Application

Number	Kind	Date	Number	Kind	Date	Update
--------	------	------	--------	------	------	--------

US 20080306857	A1	20081211	US 2007808367	A	20070608	200882 B
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Priority Applications (no., kind, date): US 2007808367 A 20070608

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20080306857	A1	EN	11	4	

Original Titles:

Method for displaying **transmission** time intervals of
orders on electronic
trading system

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0040/ 00...

G06Q-0040/ 00...

Original Publication Data by Authority

Argentina

9/3,K/10 (Item 3 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0016610841 - Drawing available
WPI ACC NO: 2007-325778/200731
XRPX Acc No: N2007-240000

Order matching system, has interface connected to computer network, and
processor matching orders for securities according to priority scheme, and
matching unit maximizing tradable volume when order is not matched
Patent Assignee: BOOKS R (BOOK-I); HENDERSON M (HEND-I); INT SECURITIES
EXCHANGE LLC (ITSE-N); WUNSCH S (WUNS-I)

Inventor: BOOKS R; HENDERSON M; WUNSCH S

Patent Family (3 patents, 116 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20070055607	A1	20070308	US 2005222141	A	20050907	200731 B
WO 2007030395	A2	20070315	WO 2006US34292	A	20060905	200731 E
EP 1922688	A2	20080521	EP 2006814093	A	20060905	200835 E
			WO 2006US34292	A	20060905	

Priority Applications (no., kind, date): US 2005222141 A 20050907

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20070055607	A1	EN	33	15	

WO 2007030395 A2 EN

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HN
HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LA LC LK LR LS LT LU LV LY MA
MD MG MK MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE
SG SK SL SM SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW
Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
FI FR GB GH GM GR HU IE IS IT KE LS LT LU LV MC MW MZ NA NL OA PL PT RO
SD SE SI SK SL SZ TR TZ UG ZM ZW

EP 1922688 A2 EN PCT Application WO 2006US34292

Based on OPI patent WO 2007030395

Regional Designated States,Original: AT BE BG CH CY CZ DE DK EE ES FI FR
GB GR HU IE IS IT LI LT LU LV MC NL PL PT RO SE SI SK TR

Alerting Abstract ...ADVANTAGE - The system is an automated system that operates on a fully-anonymous and continuous basis, and processes multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program and other **automated trading systems**. The **system** automatically matches multiple, executable orders according to the priority scheme, and executes a matching algorithm that maximizes the tradable volume when the executable order is...

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0040/ 00...

G06Q-0040/ 00...

...**G06Q-0040/ 00**

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

...bid and offer ("BBO"), wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated orders, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

...bid and offer ("BBO"), wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable

orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

...bid and offer ("BBO"), wherein the automated system is adapted to (i) operate on a fully-anonymous and continuous basis, (ii) process multiple, computer-generated **orders**, of any size, **transmitted** by algorithmic, program, and other **automated trading systems**, (iii) automatically match multiple, executable orders according to a priority scheme, and (iv) execute a matching algorithm that maximizes tradable volume when an executable order...

Claims:

9/3,K/11 (Item 4 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0016338731 - Drawing available
WPI ACC NO: 2007-054900/200706
Related WPI Acc No: 2006-520648
XRPX Acc No: N2007-038354
Trade order placing method for **electronic trading system**, involves

sending orders to buy/sell tradeable object at determined price on electronic exchange when selected button corresponds to buying or selling object, respectively

Patent Assignee: TRADING TECHNOLOGIES INT INC (TRAD-N)

Inventor: BURNS M J

Patent Family (1 patents, 1 countries)

Patent

Application

Number	Kind	Date	Number	Kind	Date	Update
US 20060259395	A1	20061116	US 200426779	A	20041231	200706 B
		US 2006415411	A	20060501		

Priority Applications (no., kind, date): US 200426779 A 20041231; US 2006415411 A 20060501

Patent Details

Number Kind Lan Pg Dwg Filing Notes

US 20060259395 A1 EN 22 14 Continuation of application US 200426779

Trade order placing method for **electronic**

trading system, involves

sending orders to buy/sell tradeable

object at determined price on electronic exchange when selected button corresponds to buying or selling object, respectively

Class Codes
International Classification (+ Attributes)
IPC + Level Value Position Status Version
G06Q-0040/ 00...
G06Q-0040/ 00...

Original Publication Data by Authority

Argentina

9/3,K/12 (Item 5 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0015743176 - Drawing available
WPI ACC NO: 2006-304999/200632
Equity trade order executing method, involves initiating execution of order
responsive to eligibility for execution as determined by analyzing order if
it is determined that order is eligible for execution
Patent Assignee: ANDRESEN M (ANDR-I); CITADEL INVESTMENT GROUP LLC
(CITA-N); GRIFFIN K C (GRIF-I)

Inventor: ANDRESEN M; GRIFFIN K C
Patent Family (3 patents, 110 countries)
Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20060085312	A1	20060420	US 2004619997	P	20041019	200632 B
			US 2004999571	A	20041130	
WO 2006044429	A2	20060427	WO 2005US36608	A	20051012	200632 E
US 7587347	B2	20090908	US 2004619997	P	20041019	200959 E
			US 2004999571	A	20041130	

Priority Applications (no., kind, date): US 2004619997 P 20041019; US
2004999571 A 20041130

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20060085312	A1	EN	37	23	Related to Provisional US 2004619997
WO 2006044429	A2	EN			

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR
HU ID IL IN IS JP KE KG KM KP KR KZ LC LK LR LS LT LU LV LY MA MD MG MK
MN MW MX MZ NA NG NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SM SY
TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW

Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
FI FR GB GH GM GR HU IE IS IT KE LS LT LU LV MC MW MZ NA NL OA PL PT RO
SD SE SI SK SL SZ TR TZ UG ZM ZW

US 7587347 B2 EN Related to Provisional US 2004619997

Class Codes
International Classification (+ Attributes)
IPC + Level Value Position Status Version

G06Q-0040/ 00...
G06Q-0040/ 00...

...**G06Q-0040/ 00**

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...analyzing the order to determine eligibility for execution using the at least one toxicity quotient; and determining whether the order is eligible for execution; and **electronically transmitting the order** by the broker-dealer **system** to the computer **trading system** for execution responsive to the eligibility for execution as determined by the analyzing the order using the at least one toxicity quotient.

9/3,K/13 (Item 6 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0015617776 - Drawing available
WPI ACC NO: 2006-181949/200619
XRPX Acc No: N2006-157012

Electronic system for trading derivative contract in e- commerce, has central controller that receives order, assigns authorization identifier to contract, stores identifier in database and transmits acknowledgement to buyer

Patent Assignee: SHKEDY G (SHKE-I)

Inventor: SHKEDY G

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20060036530	A1	20060216	US 2004915048	A	20040810	200619 B

Priority Applications (no., kind, date): US 2004915048 A 20040810

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
US 20060036530	A1	EN	20	9		

Class Codes

International Classification (+ Attributes)
IPC + Level Value Position Status Version
...G06Q-0040/ 00...

...G06Q-0099/ 00
...G06Q-0040/ 00...

...G06Q-0099/ 00

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

What is claimed is: 1. An electronic system for facilitating **trading** of derivative contracts, comprising: **a transmitter for transmitting an order** for a micro derivative contract from a buyer to a seller; anda controller associated with the seller for receiving the order transmitted from the...

9/3,K/14 (Item 7 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0014803747 - Drawing available
WPI ACC NO: 2005-151433/200516
Related WPI Acc No: 2007-054903; 2007-054904
XRPX Acc No: N2005-127757

Order sending method used in
electronic trading system, involves **sending order** on behalf of trader to **electronic** market, when specific condition is satisfied
Patent Assignee: BRUMFIELD H C (BRUM-I); MONROE F (MONR-I); TRADING TECHNOLOGIES INT INC (TRAD-N)

Inventor: BRUMFIELD H; BRUMFIELD H C; MONROE F

Patent Family (3 patents, 107 countries)

Patent	Application
Number	Kind Date Number Kind Date Update
US 20050027635	A1 20050203 US 2003628631 A 20030728 200516 B
WO 2005013104	A2 20050210 WO 2004US25543 A 20040727 200516 E
EP 1649418	A2 20060426 EP 2004780385 A 20040727 200628 E
	WO 2004US25543 A 20040727

Priority Applications (no., kind, date): US 2003628631 A 20030728

Patent Details

Number Kind Lan Pg Dwg Filing Notes

US 20050027635 A1 EN 16 5

WO 2005013104 A2 EN

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR
HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW
MX MZ NA NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR
TT TZ UA UG US UZ VC VN YU ZA ZM ZW

Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
FI FR GB GH GM GR HU IE IT KE LS LU MC MW MZ NA NL OA PL PT RO SD SE SI
SK SL SZ TR TZ UG ZM ZW

EP 1649418 A2 EN PCT Application WO 2004US25543

Based on OPI patent WO 2005013104

Regional Designated States,Original: AT BE BG CH CY CZ DE DK EE ES FI FR
GB GR HU IE IT LI LU MC NL PL PT RO SE SI SK TR

Order sending method used in
electronic trading
system, involves **sending**
order on behalf of trader to
electronic market, when specific condition is satisfied

Alerting Abstract ...USE - For **sending**
order to **electronic** market in
electronic trading
system.

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0040/ 00...

G06Q-0040/ 00...

Original Publication Data by Authority

Argentina

9/3,K/15 (Item 8 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0013157202

WPI ACC NO: 2003-239946/200323

XRFX Acc No: N2003-191110

Electronic trading system e.g. for trading financial instruments, which incorporates voice brokering functions

Patent Assignee: ELECTRONIC BROKING SERVICES LTD (ELBR-N); HORSFALL P R (HORS-I)

Inventor: HORSFALL P R

Patent Family (7 patents, 99 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
WO 2003019441	A2	20030306	WO 20021B5448	A	20020828	200323 B
GB 2381616	A	20030507	GB 200219049	A	20020815	200331 E
US 20030083973	A1	20030501	US 2001942426	A	20010829	200331 E
GB 2393823	A	20040407	WO 20021B5448	A	20020828	200425 E
			GB 20041941	A	20040129	
DE 10297153	T0	20040722	DE 10297153	A	20020828	200449 E
			WO 20021B5448	A	20020828	
AU 2002353352	A1	20030310	AU 2002353352	A	20020828	200452 E
JP 2005501349	W	20050113	WO 20021B5448	A	20020828	200506 E
			JP 2003523430	A	20020828	

Priority Applications (no., kind, date): US 2001942426 A 20010829

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
WO 2003019441	A2	EN	65	0		

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW

Regional Designated States,Original: AT BE BG CH CY CZ DE DK EA EE ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SK SL SZ TR TZ UG ZM ZW

GB 2393823	A	EN			PCT Application	WO 20021B5448
					Based on OPI patent	WO 2003019441
DE 10297153	T0	DE			PCT Application	WO 20021B5448
					Based on OPI patent	WO 2003019441
AU 2002353352	A1	EN			Based on OPI patent	WO 2003019441
JP 2005501349	W	JA	98		PCT Application	WO 20021B5448
					Based on OPI patent	WO 2003019441

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0030/ 00...

...G06Q-0040/ 00

G06Q-0030/ 00...

...G06Q-0040/ 00

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

What is claimed is: 1. A computerised trading system for trading instruments between trading parties, comprising:

a communications network

for transmitting electronic

messages; a plurality of trader **order** input devices

connected **to the** communications

network, each for generating electronic orders including bid and/or offer

orders and for communication to traders of order information received from other input...

9/3,K/16 (Item 9 from file: 350)

DIALOG(R) File 350: Derwent WPIX

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0012847687 - Drawing available

WPI ACC NO: 2002-706203/200276

XRPX Acc No: N2002-556780

Electronic order

sending path selection method for automatic

trading system, involves selecting

order path based on path selection data from paths having same market code

as that in order

Patent Assignee: TRADESCAPE TECHNOLOGIES LLC (TRAD-N); E* TRADE FINANCIAL CORP (ETRA-N)

Inventor: AMANAT I; BUNDY M; GOLDFELD V

Patent Family (2 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20020103732	A1	20020801	US 2000729527	A	20001204	200276 B
US 7242669	B2	20070710	US 2000729527	A	20001204	200746 E

Priority Applications (no., kind, date): US 2000729527 A 20001204

Patent Details

Number Kind Lan Pg Dwg Filing Notes

US 20020103732 A1 EN 47 14

Electronic order

sending path selection method for automatic

trading system, involves selecting

order path based on path selection data from paths having same market code

as that in order

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0040/ 00...

...**G06Q-0040/ 00**
G06Q-0040/ 00...

...**G06Q-0040/ 00**

Original Publication Data by Authority

Argentina

9/3,K/17 (Item 10 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0012839376 - Drawing available
WPI ACC NO: 2002-697751/200275
Related WPI Acc No: 2002-114621
XRPX Acc No: N2002-550212
Anonymous trading system for trading financial instruments e.g. foreign
exchange spot, inter bank deposits, has credit adjustment unit for
adjusting credit available accordingly with netting of trades between given
party and counterparty
Patent Assignee: ELECTRONIC BROKING SERVICES LTD (ELBR-N)
Inventor: CRANE A G; GINSBERG P M; KRISHNASAMI S; MCPHERSON R S; MILLS G D;
WALDER R
Patent Family (1 patents, 1 countries)
Patent Application
Number Kind Date Number Kind Date Update
US 20020099641 A1 20020725 US 2000603514 A 20000623 200275 B
US 2001898305 A 20010629

Priority Applications (no., kind, date): US 2000603514 A 20000623; US
2001898305 A 20010629

Patent Details

Number Kind Lan Pg Dwg Filing Notes
US 20020099641 A1 EN 22 15 C-I-P of application US 2000603514
Class Codes
International Classification (+ Attributes)
IPC + Level Value Position Status Version
G06Q-0030/ 00...

...**G06Q-0040/ 00...**

...**G06Q-0050/ 00**
G06Q-0030/ 00...

...G06Q-0040/ 00...

...G06Q-0050/ 00

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

What is claimed is: 1. An anonymous trading system for trading instruments between trading parties; comprising:

a communications network

for transmitting

electronic messages; a plurality of

order input devices connected to **the**

communications network each for generating

electronic order including bid and/or offer orders and

for communication to a trader order information received from others of said plurality of order input devices...

9/3,K/18 (Item 11 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012816754 - Drawing available

WPI ACC NO: 2002-674219/200272

Related WPI Acc No: 2002-114619

XRPX Acc No: N2002-533131

Anonymous trading system for trading financial/non-financial product, includes order input interfaces and associated matching engine to execute or reject linked orders

Patent Assignee: ELECTRONIC BROKING SERVICES LTD (ELBR-N)

Inventor: FORAY A P; HOWORKA E R; IACCHEO S; JAIN N; MEROLD M S; NEYMAN V; SHU J

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20020107781	A1	20020808	US 2000603389	A	20000623	200272 B
		US 2001897594	A	20010629		

Priority Applications (no., kind, date): US 2000603389 A 20000623; US 2001897594 A 20010629

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20020107781	A1	EN	20	14	C-I-P of application US 2000603389

Class Codes
International Classification (+ Attributes)
IPC + Level Value Position Status Version
G06Q-0040/ 00...
G06Q-0040/ 00...

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

What is claimed is: **1.** An anonymous trading system for trading fungible instruments between traders; comprising: **a communications network for transmitting electronic** messages; a plurality of **order** input devices connected to **the communications network** each for generating **electronic** order messages including bid and/or offer orders and for communication to a trader of price information received from others of said plurality of trader...

9/3,K/19 (Item 12 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0011176803 - Drawing available
WPI ACC NO: 2002-114621/200215
Related WPI Acc No: 2002-697751
XRPX Acc No: N2002-085385
Computer implemented brokering system for trading anonymously within fixed credit limits over a communications network continuously adjusts the credit limits depending on the exposure of parties following each trade
Patent Assignee: EBS GROUP LTD (EBSE-N); EBS NOMINEES LTD (EBSN-N); ELECTRONIC BROKING SERVICES LTD (ELBR-N)
Inventor: CRANE A G; GINSBERG P M; KRISHNASAMI R; KRISHNASAMI S; MCPHERSON R S; MILLS G; MILLS G D; WALDER B; WALDER R
Patent Family (8 patents, 94 countries)
Patent Application

Number	Kind	Date	Number	Kind	Date	Update
WO 2001098967	A2	20011227	WO 20011B1586	A	20010622	200215 B
GB 2364588	A	20020130	GB 20011422	A	20010119	200216 E
AU 200180024	A	20020102	AU 200180024	A	20010622	200230 E
EP 1295235	A1	20030326	EP 2001958306	A	20010622	200323 E
			WO 20011B1586	A	20010622	
AU 766144	B	20031009	AU 200180024	A	20010622	200373 E
JP 2003536169	W	20031202	WO 20011B1586	A	20010622	200382 E

JP 2002503740 A 20010622
 ZA 200202213 A 20040225 ZA 20022213 A 20020319 200419 E
 US 7024386 B1 20060404 US 2000603514 A 20000623 200624 E

Priority Applications (no., kind, date): US 2000603514 A 20000623

Patent Details

Number Kind Lan Pg Dwg Filing Notes

WO 2001098967 A2 EN 64 15

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY
 BZ CA CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL

IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO
 NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH

GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

AU 200180024 A EN Based on OPI patent WO 2001098967

EP 1295235 A1 EN PCT Application WO 20011B1586

Based on OPI patent WO 2001098967

Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR

IE IT LI LT LU LV MC MK NL PT RO SE SI TR

AU 766144 B EN Previously issued patent AU 200180024

Based on OPI patent WO 2001098967

JP 2003536169 W JA 59 PCT Application WO 20011B1586

Based on OPI patent WO 2001098967

ZA 200202213 A EN 65

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0030/ 00...

...**G06Q-0040/ 00...**

...**G06Q-0050/ 00**
G06Q-0030/ 00...

...**G06Q-0040/ 00...**

...**G06Q-0050/ 00**

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

What is claimed is:1. An anonymous trading system for trading instruments
 between < B> trading **parties**;

comprising:a **communications** network

for **transmitting electronic**

messages;a plurality of **order** input devices

connected to the communications

network each for generating electronic orders including bid and/or offer

orders and for communicating to a trader order information received from others...

9/3,K/20 (Item 13 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0011176799 - Drawing available
WPI ACC NO: 2002-114617/200215
XRPX Acc No: N2002-085381
An anonymous trading system for trading fungible instruments between traders, uses a number of interconnected arbitrators of which only one is active at any given time
Patent Assignee: EBS GROUP LTD (EBSE-N); EBS NOMINEES LTD (EBSN-N);
ELECTRONIC BROKING SERVICES LTD (ELBR-N)
Inventor: FORAY A; FORAY A P; MEROLD M; MEROLD M S
Patent Family (9 patents, 94 countries)
Patent Application
Number Kind Date Number Kind Date Update
WO 2001098961 A2 20011227 WO 20011B1460 A 20010622 200215 B
GB 2364587 A 20020130 GB 20011421 A 20010119 200216 E
AU 200176630 A 20020102 AU 200176630 A 20010622 200230 E
EP 1346298 A2 20030924 EP 2001954289 A 20010622 200363 E
WO 20011B1460 A 20010622
JP 2004501453 W 20040115 WO 20011B1460 A 20010622 200410 E
JP 2002503734 A 20010622
ZA 200202214 A 20040331 ZA 20022214 A 20020319 200426 E
AU 771829 B2 20040401 AU 200176630 A 20010622 200455 E
GB 2364587 B 20040922 GB 20011421 A 20010119 200462 E
US 6983259 B1 20060103 US 2000603515 A 20000623 200605 E

Priority Applications (no., kind, date): US 2000603515 A 20000623

Patent Details

Number Kind Lan Pg Dwg Filing Notes
WO 2001098961 A2 EN 26 2
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY
BZ CA CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL
IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MY NO
NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH
GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200176630 A EN Based on OPI patent WO 2001098961
EP 1346298 A2 EN PCT Application WO 20011B1460
Based on OPI patent WO 2001098961
Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR
IE IT LI LT LU LV MC MK NL PT RO SE SI TR

JP 2004501453 W JA 42 PCT Application WO 20011B1460
Based on OPI patent WO 2001098961
ZA 200202214 A EN 30
AU 771829 B2 EN Previously issued patent AU 200176630
Based on OPI patent WO 2001098961

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0030/ 00...

...G06Q-0040/ 00...

...G06Q-0050/ 00

...G06Q-0030/ 00...

...G06Q-0040/ 00...

...G06Q-0050/ 00

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

What is claimed is:1. An anonymous trading system for trading fungible instruments between traders,

comprising; a communications network

for transmitting electronic

messages; a plurality of **order** input devices

connected to the communications

network each for generating electronic price quotation messages including

bid and/or offer prices and for communicating to a trader price information received...

9/3,K/21 (Item 14 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0010815628 - Drawing available

WPI ACC NO: 2001-432416/200146

XRPX Acc No: N2001-320476

Internet oriented transaction method involves executing trade defined by buying-selling order indications which are invisible to other market participants

Patent Assignee: GIANAKOUROS N P (GIAN-I); SHAW & CO INC D E (SHAW-N)

; SHAW D E (SHAW-I); SHAW & CO D E (SHAW-N)

Inventor: GIANAKOUROS N P; SHAW D E

Patent Family (4 patents, 91 countries)

Patent

Application

Number	Kind	Date	Number	Kind	Date	Update
WO 2001022339	A2	20010329	WO 2000US26299	A	20000925	200146 B
AU 200076130	A	20010424	AU 200076130	A	20000925	200147 E
US 20060031157	A1	20060209	US 1999155643	P	19990924	200612 E
			US 2000565444	A	20000505	
			US 2005249495	A	20051014	
US 7035819	B1	20060425	US 1999155643	P	19990924	200629 E
			US 2000565444	A	20000505	

Priority Applications (no., kind, date): US 1999155643 P 19990924; US

2000565444 A 20000505; US 2005249495 A 20051014

Patent Details

Number Kind Lan Pg Dwg Filing Notes

WO 2001022339 A2 EN 97 5

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY

CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS
JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL
PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH

GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200076130 A EN Based on OPI patent WO 2001022339

US 20060031157 A1 EN Related to Provisional US 1999155643

Continuation of application US

2000565444

US 7035819 B1 EN Related to Provisional US 1999155643

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0040/ 00...

...**G06Q-0040/ 00**

G06Q-0040/ 00...

...**G06Q-0040/ 00**

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...source of binding orders to request an instruction regarding a binding
order to trade said security, said binding order to trade being a retail
marketable order;**transmitting** from
said **automated trading**

system said instruction to said one source of binding
orders, said instruction being to transmit said binding order to trade said
security, if said binding order...

9/3,K/22 (Item 15 from file: 350)
 DIALOG(R)File 350: Derwent WPIX
 (c) 2009 Thomson Reuters. All rights reserved.

0010521121 - Drawing available
 WPI ACC NO: 2001-122650/200113
 Related WPI Acc No: 2001-441109
 XRPX Acc No: N2001-090095
 Transactional information display method for electronic trading system,
 involves displaying bid icon, corresponding to bid of items, at location
 along axis of values
 Patent Assignee: EPIT INC (EPIT-N); FRIESEN R W (FRIE-I); HART P C
 (HART-I); TRADING TECHNOLOGIES INT INC (TRAD-N)
 Inventor: FRIESEN R; FRIESEN R W; HART P C
 Patent Family (12 patents, 85 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
WO 2000062187	A2	20001019	WO 2000US9369	A	20000407	200113 B
AU 200040801	A	20001114	AU 200040801	A	20000407	200113 E
EP 1177506	A2	20020206	EP 2000920223	A	20000407	200218 E
			WO 2000US9369	A	20000407	
JP 2002541588	W	20021203	JP 2000611188	A	20000407	200309 E
			WO 2000US9369	A	20000407	
US 20030097325	A1	20030522	US 1999289550	A	19990409	200336 E
US 20060259405	A1	20061116	US 1999289550	A	19990409	200677 E
			US 2006417522	A	20060503	
US 20060265318	A1	20061123	US 1999289550	A	19990409	200678 E
			US 2006417544	A	20060503	
US 20060265319	A1	20061123	US 1999289550	A	19990409	200678 E
			US 2006417546	A	20060503	
US 7212999	B2	20070501	US 1999289550	A	19990409	200730 E
US 7412416	B2	20080812	US 1999289550	A	19990409	200855 E
			US 2006417522	A	20060503	
US 20090089196	A1	20090402	US 1999289550	A	19990409	200929 E
			US 2006417546	A	20060503	
			US 2008327944	A	20081204	
US 7533056	B2	20090512	US 1999289550	A	19990409	200934 E
			US 2006417544	A	20060503	

Priority Applications (no., kind, date): US 1999289550 A 19990409; US
 2006417522 A 20060503; US 2006417544 A 20060503; US 2006417546 A
 20060503; US 2008327944 A 20081204

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
WO 2000062187	A2	EN	52	11		

National Designated States,Original: AE AL AM AT AU AZ BA BB BG BR BY CA
CH CN CU CZ DE DK EE ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR
KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI
SK TJ TM TR TT UA UG UZ VN YU ZA ZW

Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH
GM GR IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW

AU 200040801 A EN Based on OPI patent WO 2000062187
EP 1177506 A2 EN PCT Application WO 2000US9369

Based on OPI patent WO 2000062187

Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR
IE IT LI LT LU LV MC MK NL PT RO SE SI

JP 2002541588 W JA 58 PCT Application WO 2000US9369
Based on OPI patent WO 2000062187

US 20060259405 A1 EN Continuation of application US
1999289550

US 20060265318 A1 EN Continuation of application US
1999289550

US 20060265319 A1 EN Continuation of application US
1999289550

US 7412416 B2 EN Continuation of application US
1999289550

Continuation of patent US 7212999

US 20090089196 A1 EN Continuation of application US
1999289550

Continuation of application US

2006417546

Continuation of patent US 7212999

US 7533056 B2 EN Continuation of application US
1999289550

Continuation of patent US 7212999

Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

...G06Q-0030/ 00...

...G06Q-0030/ 00...

...G06Q-0040/ 00...

...G06Q-0040/ 00...

...G06Q-0050/ 00

...G06Q-0030/ 00...

...G06Q-0030/ 00...

...G06Q-0040/ 00...

...G06Q-0040/ 00...

...G06Q-0040/ 00...

...G06Q-0050/ 00

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...buy or sell the particular quantity of the good at the particular price value responsive to placing the order icon at the specific location; and **sending the order** to an **electronic trading system**, wherein the order is for the particular quantity of the good and at the particular price value determined based on the location where the order...

IV. Text Search Results from Dialog

A. Abstract Databases

File 2:INSPEC 1898-2009/Nov W2
(c) 2009 The IET
File 35:Dissertation Abs Online 1861-2009/Sep
(c) 2009 ProQuest Info&Learning
File 65:Inside Conferences 1993-2009/Nov 18
(c) 2009 BLDSC all rts. reserv.
File 99:Wilson Appl. Sci & Tech Abs 1983-2009/Oct
(c) 2009 The HW Wilson Co.
File 474:New York Times Abs 1969-2009/Nov 18
(c) 2009 The New York Times
File 475:Wall Street Journal Abs 1973-2009/Nov 18
(c) 2009 The New York Times
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
(c) 2002 Gale/Cengage
File 139:EconLit 1969-2009/Oct
(c) 2009 American Economic Association

? ds

Set	Items	Description
S1	7697	TRADING(3N)(SYSTEM OR SYSTEMS)
S2	33889	(STOCK OR STOCKS)(3N)TRADING
S3	1696	(SYNC OR SYNCs OR SYNCHRONI?)(5N)(ORDER OR ORDERS)
S4	11338	(UPLOAD? OR DOWNLOAD? OR SEND OR SENDS OR SENDING OR TRANSMIT? OR TRANSMISS?)(5N)(ORDER OR ORDERS)
S5	120	(S3 OR S4)(5N)(AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR -ELECTRONIC?)
S6	121	AU= (KEITH, C? OR KEITH C? OR CHRISTOPHER(2N)KEITH)
S7	40538	S1:S2
S8	2	S7 AND S5
S9	0	S6 AND S7
S10	0	S6 AND S3

?

8/3,K/1 (Item 1 from file: 2)
DIALOG(R)File 2: INSPEC
(c) 2009 The IET. All rights reserved.

07844845

Title: Big board breakthroughs [New York Stock Exchange]
Authors(s): Sales, R.
Journal: Wall Street & Technology, vol.19, no.1, pp.14-17
Publisher: CMP Media Inc
Country of Publication: USA
Publication Date: Jan. 2001

ISSN: 1060-989X
SICI: 1060-989X(200101)19:1L14:BBYS;1-F
CODEN: WSTEE5
Language: English
Subfile(s): D (Information Technology for Business); E (Mechanical & Production Engineering)
INSPEC Update Issue: 2001-007
Copyright: 2001, IEE

Abstract: ...is changing its image. By rolling out a new trading floor, launching an electronic communications network (ECN), and creating new options for institutional investors to **send orders electronically**, NYSE is standing firm in the electronic age

Descriptors: electronic **trading**; **stock** markets

Identifiers: New York **Stock** Exchange; **trading** floor; electronic communications network; institutional investors; electronic orders

8/3,K/2 (Item 1 from file: 475)
DIALOG(R)File 475: Wall Street Journal Abs
(c) 2009 The New York Times. All rights reserved.

06259462
STOCKS DROP AS SALOMON CLERK ERRS
Wall Street Journal, Col. 6, Pg. 1, Sec. C
Thursday March 26 1992

ABSTRACT:
Salomon Brothers Inc clerk botches program trade and **sends electronic orders** to sell stocks valued at hundreds of millions of dollars cascading onto NY Stock Exchange just before closing bell; huge sell order, involving about 50...

CORRECTION:

DESCRIPTORS: STOCKS AND BONDS; **STOCK** PRICES AND **TRADING** VOLUME; DATA PROCESSING (COMPUTERS); DOW JONES STOCK AVERAGE

V. Text Search Results from Dialog

A. Full Text Databases

File 625: American Banker Publications 1981-2008/ Jun 26
(c) 2008 American Banker

File 268: Banking Info Source 1981-2009/ Nov W2
(c) 2009 ProQuest Info&Learning

File 626: Bond Buyer Full Text 1981-2008/ Jul 07
(c) 2008 Bond Buyer

File 267: Finance & Banking Newsletters 2008/ Sep 29
(c) 2008 Dialog

File 9: Business & Industry(R) Jul/1994-2009/ Nov 17
(c) 2009 Gale/Cengage

File 16: Gale Group PROMT(R) 1990-2009/ Oct 23
(c) 2009 Gale/Cengage

File 20: Dialog Global Reporter 1997-2009/ Nov 18
(c) 2009 Dialog

File 15: ABI/Inform(R) 1971-2009/ Nov 17
(c) 2009 ProQuest Info&Learning

File 148: Gale Group Trade & Industry DB 1976-2009/ Nov 18
(c) 2009 Gale/Cengage

File 160: Gale Group PROMT(R) 1972-1989
(c) 1999 The Gale Group

File 275: Gale Group Computer DB(TM) 1983-2009/ Oct 19
(c) 2009 Gale/Cengage

File 610: Business Wire 1999-2009/ Nov 18
(c) 2009 Business Wire.

File 613: PR Newswire 1999-2009/ Nov 18
(c) 2009 PR Newswire Association Inc

File 621: Gale Group New Prod. Annou.(R) 1985-2009/ Oct 09
(c) 2009 Gale/Cengage

File 636: Gale Group Newsletter DB(TM) 1987-2009/ Oct 23
(c) 2009 Gale/Cengage

File 624: McGraw-Hill Publications 1985-2009/ Nov 18
(c) 2009 McGraw-Hill Co. Inc

File 634: San Jose Mercury Jun 1985-2009/ Nov 17
(c) 2009 San Jose Mercury News

File 810: Business Wire 1986-1999/ Feb 28
(c) 1999 Business Wire

File 813: PR Newswire 1987-1999/ Apr 30
(c) 1999 PR Newswire Association Inc

? ds

Set	Items	Description
S1	240518	TRADING(3N){SYSTEM OR SYSTEMS}
S2	620068	(STOCK OR STOCKS){3N}TRADING

S3 4723 (SYNC OR SYNC'S OR SYNCHRONI?)(5N)(ORDER OR ORDERS)
 S4 116086 (UPLOAD? OR DOWNLOAD? OR SEND OR SENDS OR SENDING OR TRANSMIT? OR TRANSMISS?)(5N)(ORDER OR ORDERS)
 S5 6955 (S3 OR S4)(5N)(AUTOMATED OR COMPUTERIS? OR COMPUTERIZ? OR - ELECTRONIC?)
 S6 23 AU= (KEITH, C? OR KEITH C? OR CHRISTOPHER(2N)KEITH)
 S7 834020 S1:S2
 S8 31 S7(3N)S5
 S9 18 RD (unique items)
 S10 12 S9 NOT PY>2000
 S11 0 S6(S)TRADING

?

10/3,K/1 (Item 1 from file: 625)
 DIALOG(R)File 625: American Banker Publications
 (c) 2008 American Banker. All rights reserved.

0143693
 RAM, Davidge Offer Wireless Trading System
 American Banker - February 29, 1994; Pg. 15; Vol. 159, No. 40
 WORD COUNT: 420

BYLINE:
 By JEFFREY ZACK

TEXT:
 RAM Mobile Data USA has reached an agreement with Davidge Data Systems Corp. to provide the brokerage arms of banks with a wireless **electronic trading system** < ;/ B> .

The system transmits trade orders over radio waves instead of leased telecommunication lines.

Brokers are already using the technology at one major bank, Societe Generale. Officials at the New York...

10/3,K/2 (Item 1 from file: 16)
 DIALOG(R)File 16: Gale Group PROMT(R)
 (c) 2009 Gale/Cengage. All rights reserved.

07112997 Supplier Number: 60108355 (USE FORMAT 7 FOR FULLTEXT)
 Capital Institutional Services Will Provide Institutional OTC Trading Services Through Bloomberg Tradebook.
 Business Wire, p1456

March 15, 2000
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 648

... batch profile

- Order Routing Networks: CIS has connections to the following networks:

Bloomberg, Reuters Intertrade Direct, MacGregor's MFN, Thomson TradeRoute,
TNS
and Trinitech

- Other **Trading Systems**

: Customers can **send electronic orders** from the

following systems: AutEx+, Bloomberg EET, Reuters Intertrade Direct, OptiMark,
and Tradeware

- Order Management Systems: Orders can be sent to CIS from any order

...

10/3,K/3 (Item 2 from file: 16)
DIALOG(R)File 16: Gale Group PROMT(R)
(c) 2009 Gale/Cengage. All rights reserved.

06359876 Supplier Number: 54701017 (USE FORMAT 7 FOR FULLTEXT)
New Refco Management Team Welcomes CFTC Settlement as Opportunity to Move
Forward.

PR Newswire, p6278

May 24, 1999

Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 816

... to fund an industry-wide study of issues associated with futures
order transmission and entry procedures both in the current exchange
environment and in emerging **electronic
order transmission**, entry and
trading systems. In a simultaneous
and related agreement, Refco will pay a \$1 million fine to the Chicago
Board of Trade.

In April when it was announced...

10/3,K/4 (Item 3 from file: 16)
DIALOG(R)File 16: Gale Group PROMT(R)
(c) 2009 Gale/Cengage. All rights reserved.

03257323 Supplier Number: 44482349
RAM, Davidge Offer Wireless Trading System
American Banker, p15
March 1, 1994
Language: English Record Type: Abstract
Document Type: Magazine/Journal; Trade

ABSTRACT:

RAM Mobile Data USA will jointly offer the brokerage arms of banks with a wireless electronic trading system with Davidge Data Systems. The new wireless **electronic trading system sends trade orders** over radio waves rather than leased telecommunications lines. The primary advantages of the new system are cost, speed, and ease of installation, according to John...

TEXT:

10/3,K/5 (Item 1 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
(c) 2009 ProQuest Info&Learning. All rights reserved.

01915920 05-66912
ECN portals serve up a menu of appetizing choices
Schmerken, Ivy
Wall Street & Technology Today's Special: E-Traders Delight Supplement
PP: 10-14 Nov 1999
ISSN: 1060-989X JRNL CODE: WSC
WORD COUNT: 2156

...TEXT: past two years fueled by the Internet, faster and cheaper bandwidth via cable modems, pervasive access to Nasdaq Level II quotes and the ability to **send stock orders** to an **electronic trading system**, such as Island ECN, in seconds.

(Photograph Omitted)

The concept, known as Electronic Direct Access Trading (or EDAT), was coined by Mark Nassar, author of...

10/3,K/6 (Item 2 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
(c) 2009 ProQuest Info&Learning. All rights reserved.

01108035 97-57429
Employment trends in the security brokers and dealers industry
Graff, Brett Illyse
Monthly Labor Review v118n9 PP: 20-29 Sep 1995
ISSN: 0098-1818 JRNL CODE: MLR
WORD COUNT: 5703

...TEXT: old system. The efficiency of the current system is such that market transactions often can be completed before a security experiences any movement in price. **Electronic trading systems transmit orders** directly to a receiving unit. Both advances eliminate paper tickets, and thus the need for clerks to handle them.

Electronic systems allowed management to trim...

10/3,K/7 (Item 3 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
(c) 2009 ProQuest Info&Learning. All rights reserved.

00434873 89-06660
Globex: Are Computers the Pits?
Harris, Alton B.; Kramer, Andrea S.; Foley, Kevin M.
InterMarket v5n12 PP: 57-58 Dec 1988
ISSN: 8755-3724 JRNL CODE: ITM

ABSTRACT: The Chicago Mercantile Exchange has joined with Reuters to develop Globex, a **computerized trading system**. Globex will basically **transmit** information from all **orders** to a central computer, and the system will automatically execute a trade when bid and offer prices match. Received orders will be time-stamped, and...

10/3,K/8 (Item 4 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
(c) 2009 ProQuest Info&Learning. All rights reserved.

00287067 85-27501
Toronto Stock Exchange: Automated Menagerie/The Montreal Exchange - Centre
of Market Innovation/Vancouver Stock Exchange: Venture Capital's Front Line
Hollis, John; Smiles, Vicki; Davies, Ben
Euromoney (Canada Supplement) PP: 98-103 Jul 1985
ISSN: 0014-2433 JRNL CODE: ERM

ABSTRACT: The Toronto Stock Exchange (TSE) is home to a variety of
electronic beasts. The Computer-Aided **Trading**
System (CATS) provides **automated**
transmission of orders and automatic
execution for 60% of the listed stocks. The Market Order System for
Trading (MOST) is the order routing system for run-of-the...

10/3,K/9 (Item 1 from file: 148)
DIALOG(R)File 148: Gale Group Trade & Industry DB
(c) 2009 Gale/Cengage. All rights reserved.

08282871 SUPPLIER NUMBER: 17514142 (USE FORMAT 7 OR 9 FOR FULL TEXT)
Employment trends in the security brokers and dealers industry.
Monthly Labor Review, v118, n9, p20(10)
Sep, 1995
ISSN: 0098-1818 LANGUAGE: English RECORD TYPE: Fulltext; Abstract
WORD COUNT: 6094 LINE COUNT: 00505

... old system. The efficiency of the current system is such that
market transactions often can be completed before a security experiences
any movement in price. **Electronic**
trading systems
transmit orders directly to a
receiving unit. Both advances eliminate paper tickets, and thus the need
for clerks to handle them.

Electronic systems allowed management to trim...

10/3,K/10 (Item 1 from file: 624)
DIALOG(R)File 624: McGraw-Hill Publications
(c) 2009 McGraw-Hill Co. Inc. All rights reserved.

0264955
BIG BOARD SETS HOOK-UP FEE FOR SERVICE
Securities Week, Pg 8
November 26, 1990
JOURNAL CODE: SW
ISSN: 0149-3582
WORD COUNT: 139

TEXT:

... offering in December, will allow specialist firms, or clearing firms acting on their behalf, to receive information electronically the same day relating to specialist principal **trading** executed against **system orders**

The **electronic transmission** service is designed to lower specialist firms' costs by making it possible for them to avoid keypunching a large percentage of their principal trading activity...

TABLE:

10/3,K/11 (Item 2 from file: 624)
DIALOG(R)File 624: McGraw-Hill Publications
(c) 2009 McGraw-Hill Co. Inc. All rights reserved.

0017469
NYSE MARKET REG COMMITTEE QUERIES MEMBERS, EXECS ON SHORT-SALE RULE
Securities Week, Pg 4
August 11, 1986
JOURNAL CODE: SW
ISSN: 0149-3582
WORD COUNT: 480

TEXT:

...exchange source said.

Some of the areas the committee has already reviewed include general auction market rules, trading rules applicable to specialists and

rules involving **orders transmitted**
through **automated trading s**
ystems.

The committee hopes to have a final report to NYSE management covering all market rules by year-end.

The hedge funds and program traders would...

TABLE:

10/3,K/12 (Item 1 from file: 813)
DIALOG(R)File 813: PR Newswire
(c) 1999 PR Newswire Association Inc. All rights reserved.

1125295 DAW008
Digital Communications Technology Introduces the First Fully Automated
Internet Stock Trading Bulletin Board

DATE: July 16, 1997 06:01 EDT WORD COUNT: 523

...stand-alone service of a company, allowing investors to post buy or sell orders on a company's Internet bulletin board. The DCT-On-Line **Trading System** automatically matches **orders and sends automated** t;/ B> **e-mail confirmations to the buyer, seller and the transfer agent. No commissions are charged to either the buyer or seller. An online demonstration of...**

VI. Additional Resources Searched

EBSCOhost

0 results